MODIFIED PTO/SB/08 (08-00) Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control

	Substitute fo	r form 1449B	/PTO		Complete if Known	
	INFORMATI	ON DISCLO	SURE	Application Number	09/971,087	
	STATEMEN	T BY APPLI	CANT	Filing Date	10/05/2001	
	D-4- Cb:#-	d. Ostobor	20. 2002	First Named Inventor	Gay Allan KEMP, II	
	Date Submitte	a: October 2	20, 2003	Group Art Unit	3624	
	(use as many s	sheets as ne	cessary)	Examiner Name	R. Weisberger	
Sheet	1	of	2	Attorney Docket Number	024051/0146	

				U.S. PATENT DOCUMENTS		
Examin	Cite	U.S. Patent D	ocument		Date of Publication	Pages, Columns, Lines, Where Relevant
ar Initials*	No.	Number	Kind Code <sup>2</sup> (if known)	Name of Patentee or Applicant of Cited Document	of Cited Document MM-DD-YYYY	Passages or Relevant Figures Appear
71	A1	5,689,651		LOZMAN	11/18/1997	
TI.	A2	5,774,877		PATTERSON, JR. ET AL.	06/30/1998	
Ψ-	A3	5,793,301		PATTERSON, JR. ET AL.	08/11/1998	
	A4	5,797,002		PATTERSON, JR. ET AL.	08/18/1998	
	A5	5,845,266		LUPIEN ET AL.	12/01/1998	
	A6	5,915,245		PATTERSON, JR. ET AL.	06/22/1999	
	A7	5,963,923		GARBER	10/05/1999	
	A8	6,012,046		LUPIEN ET AL.	01/04/2000	
	A9	6,014,643		MINTON	01/11/2000	
	A10	6,098,051		LUPIEN ET AL.	08/01/2000	
	A11	6,195,647		MARTYN ET AL.	02/27/2001	
	A12	6,272,474		GARCIA	08/07/2001	
	A13	6,278,982		KORHAMMER ET AL.	08/21/2001	
	A14	4,903,201		WAGNER	02/20/1990	
1	A15	5,101,353		LUPIEN ET AL.	03/31/1992	
7	A16	5,946,667		TULL, JR. ET AL.	08/31/1999	
7	A17	6,035,287		STALLAERT ET AL.	03/07/2000	
1	A18	4,674,044		KALMUS ET AL.	06/16/1987	
1	A19	4,750,135		BOILEN	08/07/1988	
h.	A20	5,270,922		HIGGINS	12/14/1993	
11	A21	5,924,083	i	SILVERMAN ET AL.	07/13/1999	
1/	A22	2002/0055899		WILLIAMS	05/09/2002	
1/	A23	2002/0138401		ALLEN ET AL.	09/26/2002	

					FOREIGN PATENT DOCUMENTS	3		
		Fore	eign Patent Docume	nt		Date of Publication of Cited Document	Pages, Columns, Lines, Where	
Examiner Initials*	Cite No. <sup>1</sup>	Office <sup>3</sup>	Number'	Code <sup>5</sup> nown)	Name of Patentee or Applicant of Cited Documents	MM-DD-YYYY	Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
///	A24	PCT	WO 95/26005	A1	BELZBERG, Sydney H.	09/28/1995		
/1/	A25	PCT	WO99/30259	A1	NIPPON STEEL CORPORATION	06/17/1999		Abs.

Examiner nitials	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	۲
11	A26	www.tradingtechnologies.com/products/xtrade_full.html	

10	/		
Examiner Signature		Date Considered	401

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, PO Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the Indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>5</sup>Applicant is to place a check mark here if English language Translation is attached.

MODIFIED PTO/SB/08 (08-00)
Approved for use through 10/31/2002. OMB 0551-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

024051/0146

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control

Substitute for form 1449B/PTO Complete if Known 09/971,087 Application Number INFORMATION DISCLOSURE 10/05/2001 STATEMENT BY APPLICANT Filing Date First Named Inventor Gay Allan KEMP, II Date Submitted: October 20, 2003 **Group Art Unit** 3624 R. Weisberger (use as many sheets as necessary) **Examiner Name** 

Sheet

2

NON PATENT LITERATURE DOCUMENTS					
Examiner Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (but magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and country where published.		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	٦		
$\mathbb{N}$	A27	JIM KHAROUF et al., "A trading room with a view", Futures, November 1998, 6 pages, Vol. 27-No. 11.			

Attorney Docket Number

Examiner Signature Date Considered

\*EXAMINER: total if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>7</sup>For Japanese patent documents, the Indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>6</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, PO Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

	•	· · · · · · · · · · · · · · · · · · ·					Page 1	of 1
Form PTO-1	449	U.S. DEPARTME	NT OF COMMERCE	ATTY. DOCKET NO.		SERIAL NO		
(MODIFIED)		PATENT AND TR	ADEMARK OFFICE	024051-0	146	09/	971,087	7
				APPLICANT	- 3.3	77 ah a		
INF	ORMAT	ION DISCLOSURE	CITATION	Gary	Allan KEMP		<del></del>	
				FILING DATE		GROUP AR	RT UNIT	
	(Use s	several sheets if neces	ssary)	10/05/20	001		2164	
			U.S. PATEN	T DOCUMENTS				
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS		DATE F PRIATE
OIPE	IPE -			<del></del>		AFFIC		
	2					ļ <u>-</u>	ļ	
JAN 2 9 200	] = ]							
JAN 2 - 200	<u>ş</u>							
3>	189							
PADEMAR	1							
	-							
	· · · ·							
			FOREIGN PAT	ENT DOCUMENTS	<u> </u>			
	1	DOCUMENT		0011117014	01.400	SUB-	TRANS	LATION
	REF	NUMBER	DATE	COUNTRY	CLASS	CLASS	YES	NO
1	.l	OTHER DOCU	MENTS (Including A	uthor, Title, Date, Pe	rtinent Pages,	Etc.)	•	
1		USPTO Presentation	on, NASDAQ, Novemb	per 8, 2001, enclosed pa	ages 1-13			
////	A1				<del></del>			
11	<del>                                     </del>							
	<del> </del>							
	<del> </del>							
			<u> </u>					
	<del> </del>				<del>-</del>			
EXAMINER	<u> </u>	<del>/// /</del>		DATE CONSIDE	RED /		7	
					4/2			
* EXA	MINER	: Initial if citation	considered, wheth	ner or not citation is	s in conforma	nce with N	MPEP 60	9; Draw
line	throug	h citation if not in	conformance and	I not considered.	nclude any c	opy of this	form w	ith next
com	nmunica	ation to applicant.						

number.						
	Substitute f	or form 1449	B/PTO		Complete IL Known	
1	INFORMAT	ION DISCLO	OSURE	Application Number	09/971,087	
	STATEMEN	IT BY APPL	<b>JCANT</b>	Filing Date	October 5, 2001	
	Date Submitter	t Novembe	- 14 2002	First Named Inventor	Gary Allan KEMP, II et al.	
	Date Ocumune	J. 1101611106	14, 2002	Group Art Unit	3624	
	(use as many	sheets as n	ecessary)	Examiner Name	Weisberger, R.	
Sheet	1	of	1	Attorney Docket Number	024051-0146	

				U.S. PATENT DOCUMENTS	,	
- 1		U.S. Patent Document			Date of Publication of	Pages, Columns, Lines,
Examilier Initials	Cite No.1	Number	Kind Code² (if known)	Name of Patentee or Applicant of Cited Document	Cited Document MM-DD-YYYY	Where Relevant Passages or Relevant Figures Appear
	A1	5,077,665		SILVERMAN et al.	12/31/1991	
91	A2	5,138,501		SILVERMAN et al.	08/04/1992	
W	A3	5,297,031		GUTTERMAN et al.	03/22/1994	
	A4	5,924,082		SILVERMAN et al.	07/31/1999	
	A5	6,131,087		LUKE et al.	10/10/2000	
	A6	6,134,535	OIPE	BELZBERG	10/17/2000	
7111	A7	2002/0023038/	0	FRITSCH et al.	02/21/2002	
777	A8	6,408,282/		S\ BUIST	06/1/2002	
' / /			10V 1 4 200	2		
		- 3		9		•
				,9		
			CO OF THE			

			FC	REIGN PATENT DOCUMEN	TS		
Examiner Initiats*	Cite No.1		ument Ind Code <sup>s</sup> (# known)	Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T*
<i>Y//</i>	A9	WO 00/52619	9	PCT	09/08/2000		$\Box$
9/6/	A10	WO 00/82187	7 •	PCT	10/19/2000	• "	$\top$
1///	A11	WO 01/16852	2	PCT	03/08/2001		·
70							1
							1

		OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	79
		Dra	
		RECEIVE	<b>5</b>
	L	NOV 1 5 2002	L-,

GROUP 3600

Date Considered	3/13

\*EXAMINER: Initial If reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and no considered. Include copy of this form with next communication to applicant.

1 Unique citation designation number. \*See attached Kinds of U.S. Patent Documents. \*Enter Office that issued the document, by the two-lotter code (WIPO Standard ST.3). \*For Japanese patent documents, the indication of the year of the raign of the Emperor must precede the serial number of the patent document. \*SKind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. \*Bapticant is to place a check mark here if English language Transistion is attached.\*

Burden Hour Statement: This form is estimated to take 20 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, O.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.

O humber.					
	Substitute f	or form 1449B/F	PTO		Complete If Known
FF 1 1 2093	INFORMAT	ION DISCLOS	URE	Application Number	09/971,087
161 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	STATEMEN	IT BY APPLIC	ANT	Filing Date	October 5, 2001
1 4	<b>S</b> oate Submitte	d: Eehniani 1	1 2003	First Named Inventor	Gary Allan KEMP, II et al.
	Cate Sepinene	o. replay i	1, 2003	Group Art Unit	3624
ADEMARE	(use as many	sheets es nec	essary)	Examiner Name	Welsberger, R.
Sheet	_ 1	of	1	Attorney Docket Number	024051-0146

U.S. PATENT DOCUMENTS									
		U.S. Patent C	locument		Date of Publication of	Pages, Columns, Lines, Where Relevant			
Examiner Initials*	No.1	Number	Kind Code <sup>2</sup> (if known)	Name of Patentee or Applicant of Cited Document	Cited Document MM-DD-YYYY	Passages or Relevant Figures Appear			
	A1	5,297,032		TROJAN et al.	03/22/1994				
			<del>                                     </del>		· · · · · · · · · · · · · · · · · · ·				
	$\vdash$		+						
	-		<del>                                     </del>			<del></del>			

		FC	REIGN PATENT DOCUMEN			
Examiner Initials	Cite No.1	Foreign Patent Document Office <sup>3</sup> Number <sup>4</sup> Kind Code <sup>3</sup> (if Innown)	Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Το
7 1/1	Ã2	WO 00/65510	PCT	11/02/2000		Т
/ YID	A3	WO 01/16830	PCT	03/08/2001		$\Box$
121	A4	WO 01/16852	PCT	03/08/2001		$\Box$
797	A5	WQ 01/22315	PCT	03/29/2001		
ZX	A6	WO 01/88808	PCT	11/22/2001		1_
<del>V</del>						╁

		OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	۳
		Pro	
		RECEIVED	
		GROUP 3600	
		3600	

Examiner Signature	Date Considered	3/00	

\*EXAMINER: Initial if reference considered, whether or not distion is in conformance with MPEP 606. Draw line through distion if not in conformance and not considered, include copy of this form with next communication to applicant.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the Individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Petents, Washington, D.C. 20231.

I Unique citation designation number, 25ee state-tel kinds of U.S. Patent Documents, 3Einter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 47or Japanese patent documents, the indication of the year of the Emperor must precede the serial number of the patent document. 5Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. SApplicant is to place a check mark here if English tanguage Translation is attached.

number.			• •	• _ •	1	WARY!
	Substitute fo	or form 14498	PTO		Complete If Known	
	INFORMATI	ON DISCLO	SURE	Application Number	09/971,087	DED - 0
	STATEMEN	T BY APPLI	CANT	Filing Date	October 5, 2001	THE TO CHEEL IN
			40.0000	First Named Inventor	Gary Allan KEMP, II	at ale S
	Date Submitted	: December	18, 2002	Group Art Unit	3624	The state of
	(use as many s	sheets as ne	cessary)	Examiner Name	Welsberger, R.	PRADEN
Sheet	1	of	1	Attorney Docket Number	024051-0146	

	U.S. PATENT DOCUMENTS							
		U.S. Patent Document		Name of Patentee or Applicant of	Date of Publication of :	Pages, Columns, Lines, Where Relevant		
Praminer nitals*	Cite No.*	Number	Kind Code <sup>2</sup> (if known)	Cited Document	Cited Document MM-DD-YYYY	Passages or Refevant Figures Appear		
IIII	A1	2002/0055899		WILLIAMS	05/09/2002			
$\Delta T T$								
. / ·						PRO.		
	i -					CEN.		
						UFA TVEN		
				·	G/	(00)		
						'Ulbarra		
	<u> </u>					<del>- 360-</del>		
						<del>-</del> <del>-</del>		
	ļ							
				<del> </del>				

Examiner	Cite	For	eign Patent C		Name of Patentee or	Date of Publication of Cited Document	Pages, Columns, Lines, Where Relevant	
Initials*	No.1	Office <sup>3</sup>	Number	Kind Code (if known)	Applicant of Cited Documents	MM-DD-YYYY	Pessages or Refevent Figures Appear	T
								上
								┿
			·					土
								Т

		OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	
			·

		the second secon	
Examiner Signature	1h-	Date Considered	3/17

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.

Unique citation designation number. 25ee attached kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (MPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.